

# Open Access funds: Getting a Bigger Bang for our Bucks



# Presentation team

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# Open Access funds: Getting a Bigger Bang for our Bucks



- Overview of Open Access & the Canadian context
- Open Access Funds project
- Best practices from study
- Qualitative assessment
- A Contrarian view
- Alternatives
- Future Directions

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# CARL Open Access Working Group:



## CARL - Canadian Association of Research Libraries

- 29 university library members and two federal government libraries

“Provides leadership on behalf of Canada’s research libraries and enhances their capacity to advance research and higher education. It promotes effective and sustainable scholarly communication, and public policy that enables broad access to scholarly information.”

## Open Access Working Group (OAWG)

- Began in summer 2011 - present form 2013
- Reporting to the Research Dissemination Committee

“Provides coordinated Canadian leadership within a rapidly changing OA environment for issues of interest to CARL and CRKN members. Responds to changes in OA actively, ensuring quick response to and participation in national and international developments that arise from activities among associations, governments, research agencies, and publishers.”



# Why open now?

## We are at a confluence

- Technical ability to share
- Shifts in academic, research culture
- Push from funders, governments
- Open movement - from mashup



Photo: [USGS REPORT ofr20131030](#)



# Open Access and Research Funding in Canada

Three major funding bodies - collectively referred to as Tri-Council or Tri-Agency

- CIHR Canadian Institutes of Health Research (CIHR)
- SSHRC Social Sciences and Humanities Research Council of Canada
- NSERC Natural Sciences and Engineering Research Council of Canada (NSERC)

“The objective of this policy is to improve access to the results of Agency-funded research, and to increase the dissemination and exchange of research results. All researchers, regardless of funding support, are encouraged to adhere to this policy.”



# Tri-Council Policy on OA

In effect, May 2015

“Grant recipients are required to ensure that any peer-reviewed journal publications arising from Agency-supported research are freely accessible within 12 months of publication.”

<http://www.science.gc.ca/default.asp?lang=En&n=F6765465-1>

Compliance through:

- Deposit in open repositories
- Journals

\*Must be final, post-peer review



# Library Open Access Funds

“By setting aside resources for the express purpose of encouraging authors to publish in open-access journals, **open-access funds** demonstrate an institution’s concrete support for **reshaping the economics of scholarly communication.**”

-- *Scholarly Publishing and Academic Resources Coalition*





# Library OA funds: the landscape

- 14 CARL libraries with OA funds
- Biggest fund: University of Calgary - \$350,000
- Smallest fund: Brock University - \$10,000
- Avg. amount: \$97,000; Mode: \$50,000



# CARL Open Access Working Group:

## OA fund project

- Assess fund successes and challenges
- Clearly demonstrate return on investment
- Improve clarity when communicating with internal and external stakeholders e.g. researchers, university administrators, publishers
- Simplify for the process for institutions wishing to establish new OA funds



# Report partners:

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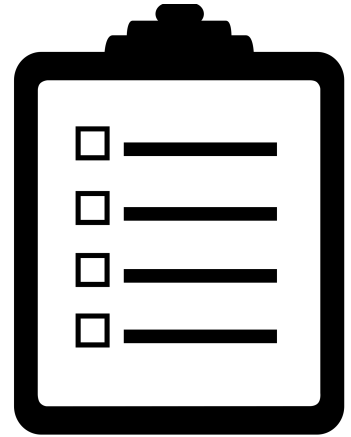


# Best practice No. 1: eligibility criteria - applicants

**Ensure eligibility criteria for applicants are transparent, objective and can be adjusted as needed**

## **Common criteria**

- member of university community
- authors must use any grant funding before applying
- first-time applicants only OR one application per person per fiscal year
- applicant must be paper's first author



# Best practice No. 2: eligibility criteria - material

## Develop uniform criteria for openness

- Clearly define what's meant by “fully open access”
- Quality control for business practices:
  - DOAJ inclusion
  - OASPA criteria



# Best practice No. 3: enhance reuse & dissemination

- Clarify rights of authors and users:
  - CC-BY
  - No embargoes
- Facilitate automatic deposit in a repository



# Best practice No. 4: document processes & practices

- Provide clear, easily accessible fund documentation
- Monitor time spent on OA fund workflows
  - consider outsourcing



Created by Creative Stall  
from Noun Project



# OA Fund Assessment - Qualitative

- Assess against fund's purpose
- Qualitative
  - Gathered from recipients
  - Support authors - e.g. timeliness, clarity of criteria, ease of use, etc.
  - Support OA publishing - if not funded, would the article have been published: gold, green, not OA?





# OA Fund Assessment - Quantitative

SPARC	Additional Measures
\$ value of fund	\$ amount expended
# articles approved	# applications received # applications rejected and reason for rejection
# payments reimbursed	
# unique submitting authors	# unique successful authors \$ per author
# unique departments	\$ and # per department
# unique publishers	\$ and # per publisher
# unique journals	\$ per journal



# OA Fund Assessment

- Track measures over time
- Use common measures
  - Compare institutions
  - Benchmark
  - Aggregate reporting - national, international, consortial
- Report to central body



# Fund Changes - Institutional Context

- Serious financial challenges
  - Budget reductions
  - And, \$CAD means costs +30%, before inflation
- 9 of 14 institutions retained their OA fund in 2015-16
- A few hoped to increase the amount
- Five funds made changes



# Changes Made to OA Funds

- Five funds made changes:
  - One closed (may reconsider if \$)
  - One temporarily suspended
  - One changed to one membership & self-archiving
  - One stopped individual APCs - memberships, other OA publishing models
  - University of Toronto



# Who on Campus Should Fund APCs?

- 10 funded by library - 9 from collections budget
- 2 funded jointly with other campus sources
- 2 funded entirely by other campus sources
- Changed funds:
  - 4 funded by library
  - One joint fund - library no longer funding
- More secure if funded by university's research office?



# Toward Measuring Value for OA Fund Money...

- Competing within collections budget
- Cost per use
  - OA: cost is perpetual, use is global
  - Article level use metrics factored against APC as cost per use metric
  - Future best practice?



# Gold OA Support Still High

- Two thirds chose to retain fund despite very serious financial situation
- Of 5 that made changes:
  - 2 - memberships and other models of gold OA
  - 1 temporarily suspended
  - 1 will consider reinstating
- Commitment still high, models vary



# The Contrarian View: Closing the OA Fund

Why has U of T been working to close our open access fund?





# The Contrarian View: Closing the OA Fund

Context:

U of T is HUGE

84,000 plus students

13,000 plus faculty



# The Contrarian View: Closing the OA Fund

Issue one: Scale

No way to meaningfully support our faculty at scale

Diversity of faculties lead to structural inequalities



# The Contrarian View: Closing the OA Fund

Issue two: Impact

Most of the funding went to large commercial publishers

Over-representation of STEM

Repeat Customers



# The Contrarian View: Closing the OA Fund

Issue Three: Credible Alternatives

Canadian need to comply with Tri-Agency Open Access Mandates

Author funds cannot meet need

Green OA through mediated deposit



# The Contrarian View: Closing the OA Fund

Issue Four: The Endless Drop in the Bucket

Communicate with 13,000 Faculty?!

Requests after funds are spent



# The Contrarian View: Closing the OA Fund

## Challenges:

OA Fund is popular

Library Commitments to the University

Anxiety over Tri-Agency Mandate



# The Contrarian View: Closing the OA Fund

Solutions?

Memberships: Good but hard to evaluate

Mediated Deposit: Great! But hard to work retroactively

Support Homebrew Alternatives



# The Contrarian View: Closing the OA Fund

Pushing back on Open Access?

Why do we support OA?

Glushko and Shoyama, [A Theoretical Framework for Understanding Open Access Initiatives](#)





# The Contrarian View: Closing the OA Fund

“the public good is essentially contested, that its evocation is open to demagogic exploitation”

Jane Mansbridge



# OA Funds and alternatives

## Infrastructure

- Repositories
- Grants restructured, revised
- Support for OA to publishers
- Standards for metrics, assessment, reporting

## Publishing

- Libraries as publishers
- Supporting green and hybrid, as well as gold

## Licensing and collection development

- Terms of use
- Highlighting OA resources
- Indexing support



# Infrastructure changes

National and International level funds (e.g. [OpenAIRE](#))

Research funding bodies with OA-targeted resources (e.g. [Gates Foundation](#))

OA-inclusive metrics, assessment tools (e.g. [ImpactStory](#), DOAJ)

OA workflows, standards & common practices (e.g. [OAWAL](#))



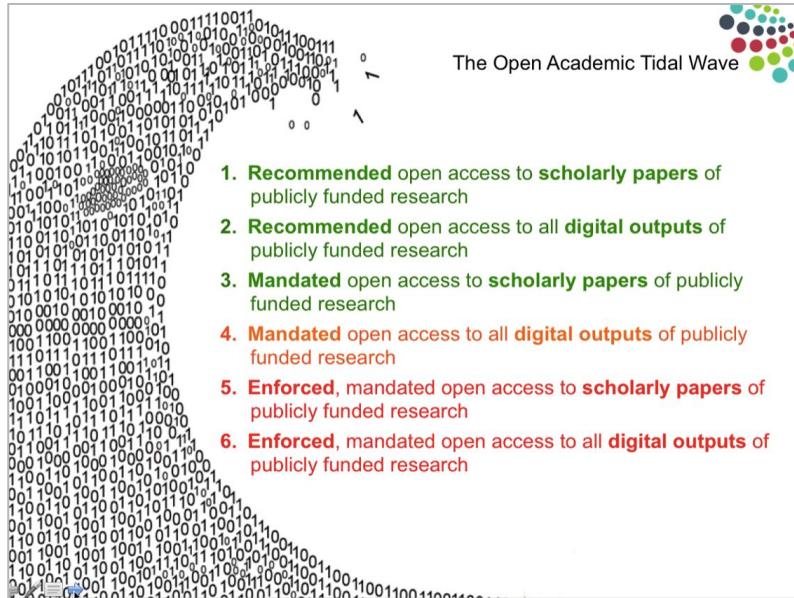
# Mission - OA

- Partnership
- Advocacy
- Education
- Support
  - Infrastructure
  - Services
  - Consultations
- Critical Review

*OA is a tremendous opportunity, but our OA initiatives need to be consistent with library mandates, strategic plans, professional ethos, and best practices.*



# forecast - cloudy with a chance of participation



Source: M. Hahnel, FigShare 2015

- OA and cloud
- Big data
- Cultural Shifts
  - Funders
  - Academics
  - Publishers



# Thank you

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# Future of CARL-OAWG

Dissolution of OAWG

New joint committee with CKRN Canadian Research Knowledge Network

- collective that bargains group licenses for electronic resources



# Why open now?

## At a Confluence

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Photo: [Igaca Falls](#) by Arian Zwegers

